

10/090632

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

HCSI-101

In Re Application Of: Clark K. Kim

AUG 09 2002

#4138
8/13/02

Serial No.

10/090,632

Filing Date

Mar. 6, 2002

Examiner

Unknown

Group Art Unit

1636

Title: **SYSTEM AND METHOD FOR DELIVERING UMBILICAL CORD-DERIVED TISSUE-MATCHED STEMS FOR TRANSPLANTATION**

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Address to:

Assistant Commissioner for Patents
Washington, D.C. 20231

AUG 13 2002

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37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

HCSI-101



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

LUM, CLARK

Serial No.: 10/090,632

Filed: March 6, 2002

For: SYSTEM AND METHOD FOR
DELIVERING UMBILICAL CORD-
DERIVED TISSUE-MATCHED
STEMS FOR TRANSPLANTATION

Art Unit: 1636

Examiner: Not Yet Assigned

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INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicants wish to make of record in the above-identified application the documents referenced on the attached Form PTO-1449. A copy of each reference is enclosed herewith.

The undersigned believes that this Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits for the above-referenced application.

Accordingly, Applicants do not believe that a fee is due for filing this paper. However, should a first action on the merits have been issued on the same day or before this Information Disclosure Statement is filed, please accept this Information Disclosure Statement under Rule 97(c) and charge the requisite Rule 17(p) fee to our Deposit Account No. 50-1390, under Order No. HCSI-101 and proceed to consider this Information Disclosure Statement.

It is respectfully requested that the information be expressly considered during the prosecution of this application, and that each reference be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This submission does not represent that any referenced document is material or constitutes "prior art." If it should be determined that one or more of the referenced documents constitute "prior art" under United States law, Applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of the reference or references.

WO98/21313, in Japanese, is cited as being directed to a method for culturing hematopoietic stem cells.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over any referenced document, should it be applied against the claims of the present application.

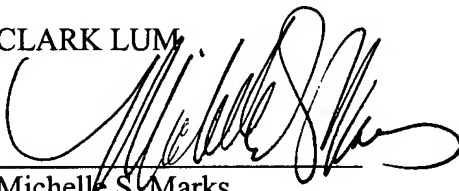
SHAW PITTMAN LLP
1650 Tysons Boulevard
McLean, VA 22102
Tel: 703/770-7900

Date: August 9, 2002

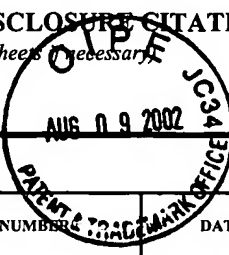
Respectfully submitted,

CLARK LUM

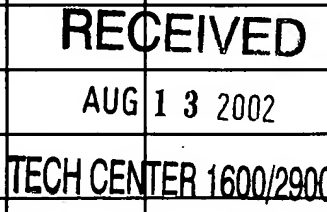
By:


Michelle S. Marks
Registration No. 41,971

INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i>				Docket Number (Optional) HCSI-101		Application Number 10,090,632	
				Applicant(s) Clark Lum			
				Filing Date March 6, 2002		Group Art Unit 1636	



U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		US 5,004,681	04/02/91	Boyse et al.			
		US 5,061,620	10/29/91	Tsukamoto et al.			
		US 5,397,706	03/14/95	Correa et al.			
		US 5,399,493	03/21/95	Emerson et al.			
		US 5,541,103	07/30/96	Kanz et al.			
		US 5,599,703	02/04/97	Davis et al.			
		US 5,610,056	03/11/97	Nakahata			
		US 5,635,387	06/03/97	Fei et al.			
		US 5,646,043	07/08/97	Emerson et al.			
		US 5,670,351	09/23/97	Emerson et al.			
		US 5,677,136	10/14/97	Simmons et al.			



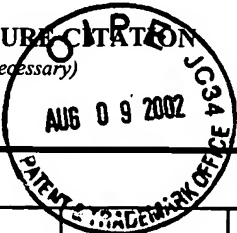
FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
		WO95/06112	03/02/95	PCT				
		WO97/17079	05/15/97	PCT				
		WO97/41224	11/0697	PCT				
		WO98/21313	05/22/98	PCT (in Japanese)				
		WO99/30723	06/24/99	PCT				

OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>	
	AABB Standards and Manuals available through www.aabb.org .
	Almeida-Porada et al., "Evaluation of Serum-Free Culture Conditions Able to Support the Ex Vivo Expansion and Engraftment of Human Hematopoietic Stem Cells in the Human-to-SHEep Xenograft Model," J. Hematotherapy & StemCell Research 9:683-693 (2000).

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		US5,688,687	11/18/97	Palsson et al.			
		US 5,766,951	06/16/98	Brown			
		US 5,807,686	09/15/98	Wagner et al.			
		US 5,827,742	10/27/98	Scadden			
		US 5,866,400	11/24/98	Terstappen et al.			
		US5,840,580	02/02/99	Palsson et al.			
		US 5,888,807	03/30/99	Palsson et al.			
		US 5,914,108	06/22/99	Tsukamoto et al.			
		US 5,945,337	08/31/99	Brown			
		US 5,985,653	11/16/99	Amstrong et al.			
		US 5,994,129	11/30/99	Armstrong et al.			

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							YES	NO
		WO00/36090	06/22/00	PCT				

OTHER DOCUMENTS <small>(Including Author, Title, Date, Pertinent Pages, Etc.)</small>	
	Almici et al., "Umbilical cord blood as a source of hematopoietic stem cells: from research to clinical application," Haematologica 80(5):473-9 (1995).
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U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		US 6,030,836	02/29/00	Thiede et al.			
		US 6,048,721	04/11/00	Armstrong et al.			
		US6,096,532	08/01/00	Armstrong et al.			

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FOREIGN PATENT DOCUMENTS								
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							YES	NO

OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>	
	BioWhittaker Catalogue information on X-VIVO 10 serum free culture media, www.biowhittaker.be/xvivointro .
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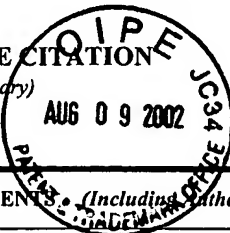
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	Brown, et al., "Serum-free conditions for cells capable of producing long-term survival in lethally irradiated mice," Stem Cells 15(3):237-45 (1997).
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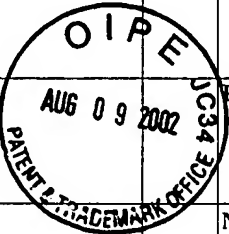
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		Kelly, et al. "Umbilical cord blood stem cells: Application for the treatment of patients with hemoglobinopathies," J. Pediatrics 130:695-703 (1997).
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	Life Technologies Catalogue No. 10639 StemPro-34 SFM media (Dec. 2000).	<div style="font-size: 2em; font-weight: bold;">RECEIVED</div> <div style="font-size: 1.2em;">AUG 13 2002</div>
	Life Technologies Catalogue information on AIM V StemPro.	<div style="font-size: 1.2em; font-weight: bold;">TECH CENTER 1600/2900</div>

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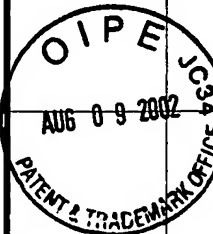
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Qui, et al., "Experimental study on ex vivo expansion of CD(34)(+) umbilical cord blood cells," Zhonghua Zue Ye Zue Za Zhi 21(8):417-20 (Aug. 2000).	
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		"Serum-Free Cell Culture Media," Quality Biological.
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	Unrelated Allogenic Cord Blood Banking and Transplant Forum (Aug. 14-15, 2000) at www.NHLBI.nih.gov/meetings/cobl_fyrhtm.schedule only.		
	Weiss, et al., "Chemically defined Serum-Free Media for the Cultivation of Primary Cells and Their Susceptibility to Viruses," In Vitro 16(7):616-628 (1980).		
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Aastrom Product Overview, Business Model, and NIH Award News Release, Oct. 20, 1998, available through www.aastrom.com ; "Aastrom Biosciences Awarded Phase II SBIR Grant to Support Umbilical Cord Blood Transplant Program," Aastrom News Release (Oct. 20, 1998).			
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